DOCUMENT RESUME

ED 393 193 EA 027 455

AUTHOR	Young, Noraleen A.
TITLE	Care of Indiana Public School Records: A Record Creator's Guide. Revised.
INSTITUTION	Indiana State Dept. of Education, Indianapolis.
PUB DATE	Sep 95
NOTE	80p.
PUB TYPE	Guides - Non-Classroom Use (055)
EDRS PRICE	MF01/PC04 Plus Postage.
DESCRIPTORS	Archives; Compliance (Legal); Confidential Records; Data Conversion; Educational Finance; Elementary Secondary Education; Federal Regulation; *Information Storage; Microfilm; *Public Schools; *Recordkeeping; *Records (Forms); *Records Management; Student Records
IDENTIFIERS	*Indiana

ABSTRACT

This publication is a result of a project undertaken in May 1898 to improve the care and management of the records of Clay Community School Corporations (CCSC), Indiana. In 1991, the CCSC conducted a survey of their public records in order to make more efficient use of their space and reduce paperwork. The chief product of their efforts was a records-retention schedule, a tool used to manage an organization's records resources. Clay Community officials, the Indiana Department of Education, and the Indiana Commission on Public Records became collaborators to make the retention schedule available and applicable to all Indiana school corporations. The document contains an updated version of the schedule. Appendices contain sample forms, a year-to-year destruction schedule, information sources, and a list of sources of archival storage materials. (LMI)

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Care of Indiana Public School Records: A Record Creator's Guide

By Noraleen A. Young

funded by
Clay Community School Corporation
and the
Indiana Department of Education

September 1995

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TO THE EDUCATIONAL RESOURCES

EA 027 455

CARE OF INDIANA PUBLIC SCHOOL RECORDS: A RECORD CREATOR'S GUIDE

Cam Stewart Weber
Consulting Archivist
Terre Haute, Indiana
May 1991

Revised
Noraleen A. Young C.A.
Archivist
Indianapolis, Indiana
July 1995

Funded by
Clay Community School Corporation
P. O. Box 169
Knightsville, Indiana 47857

With the assistance of the
Indiana Department of Education
Room 229 State House
Indianapolis, Indiana 46204

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STATE OF INDIANA

DEPARTMENT OF EDUCATION
DR. SUELLEN REED, SUPERINTENDENT

INDIANAPOLIS 46204-2798
ROOM 229 - STATE HOUSE
AREA CODE 317-232-6665

September 1995

Dear Superintendent and Business Manager:

The changing nature of document storage and retrieval in an electronic age creates challenges for our school districts in establishing procedures to maintain school records. To assist you with this task, this document has been prepared. Some of the recommendations are embedded in statute or rule while others are suggestions that have been offered by the Commission on Public Records. The Department does not intend to go beyond just offering these to you for your use. It is a local decision to determine the best use of this publication within your school district.

Clay Community Schools is to be commended for the time and effort as well as financial support they have put into the production of this document. It is through their efforts that the original publication in 1991 was developed. The Department is pleased to join with them in producing this updated version by assisting with the printing and distribution.

I extend my personal appreciation to Clay Community Schools and to all of those who have worked on this publication.

Sincerely,

Dr. Suellen Reed

Dr. Suellen Reed
Superintendent
of Public Instruction

SKR/mma

STATE OF INDIANA

EVAN BAYH, Governor

F. Gerald Handfield Jr., Director

INDIANA COMMISSION ON PUBLIC RECORDS

402 West Washington Street, Room W472
Indianapolis, Indiana 46204
Telephone: (317) 232-3373

August 22, 1995

To Indiana's Public School Professionals:

In 1991 the Clay Community School Corporation initiated a survey of their public records in order to make more efficient use of their space and reduce paperwork. The chief product of their efforts was a records retention schedule, a tool used to manage an organization's records resources. Clay Community officials, the Indiana Department of Education and the Indiana Commission on Public Records became collaborators in the effort to make the retention schedule applicable and available to all Indiana school corporations.

The Indiana Commission on Public Records is happy to have assisted in producing the original school corporation retention schedule and this updated revision. We are keenly aware of the benefits that a good records management program offers Indiana governments and we encourage all Indiana school corporations to employ this retention schedule after it has been approved by your county commission of public records.

Sincerely,

F. Gerald Handfield Jr.

F. Gerald Handfield, Jr.
Director/State Archivist
Indiana Commission on Public Records

Equal Opportunity Employer

Care of Indiana Public School Records: A Record Creators Guide
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Introduction and Acknowledgements to the 1995 Edition

When Cam Stewart Weber contacted me in late 1994 to work on the revisions to the guide, I had been aware, in a general way, of the publication. The guide has been noted in several publications for its importance to records management in Indiana.

The revisions maintain the same basic structure of the 1991 guide. The concise introduction to records management concepts has been left intact. The sections on records retention and disposition in Indiana have been revised according to changes in Indiana law. A section on electronic records has been added. For the bulk of the guide, the retention schedules, I interviewed staff of Clay Community School Corporation in each area to identify new record types, to review the existing retention periods, and to determine ways to make the guide as clear and straightforward as possible given the varied users of the publication. Several new sections have been added and many of the sections have been expanded to incorporate additional record types found in those areas. The index to record types was expanded and several new indexes are included.

My thanks go to Cam Stewart Weber, Consulting Archivist. Her work on the initial guide made my task so much easier. Again, without the support of Ralph Egloff, Business Manger, Clay Community School Corporation, this guide would not be possible. Thanks to Dr. Thomas Rohr for his support. I would like to thank the staff of Clay Community Schools for their assistance in this work. They were friendly, helpful, and commented over and over again how useful the guide was in managing their records. I would also like to thank those whose guidance contributed to the guide: Evelyn Sayers, Senior Policy Advisor, Indiana Department of Education and her staff, Jerry Moore, and Stephen Towne, Indiana Commission on Public Records for his assistance.

Noraleen A. Young C.A.
Archivist
July, 1995

Introduction and Acknowledgements (1991 Edition)

This publication is a result of a project undertaken in May of 1989 to improve the care and management of the Clay Community School Corporation's records. The impetus for the program came from former school Superintendent, Dr. Roger Damerow who was aware that a constant problem to school administrator's is the poor quality of records care. From the onset, school officials realized there was a general lack of available information on the care of school records. Therefore, the project was viewed by all involved as an opportunity to develop a model program which could benefit other Indiana county school corporations. Responsibility for addressing the problem was given to Mr. Ralph Egloff, Business Manager at the Clay Community Schools. His initial approach to the problem was to hire a consulting archivist.

The goal of this publication is not to provide detailed information on the mechanics of establishing a records management and archives program. A number of excellent publications exist for that purpose. (see Appendix) The goals of this handbook are two fold: to provide Indiana school officials with a retention schedule they can apply to their own records, and to acquaint school personnel with details on the retention and disposition of school records in the state of Indiana. Consequently, the following introduction to records and archives management is intended only to briefly acquaint the reader with the appropriate concepts. Any reader with more than a passing interest in records and archives management is thoroughly encouraged to look elsewhere for details.

I would like to acknowledge foremost the support and assistance of Mr. Ralph Egloff, Business Manager of Clay Community School. His unwavering interest and enthusiasm for the project has made it always a pleasure to be associated with Clay Community Schools. I would like to thank the present and past Superintendents of Clay Community Schools, Dr. Thomas Rohr and Dr. Roger Damerow for their support. I also appreciated the advice of Chuck Nemith and Ken Blicksentaff of the State Board of Accounts, the counsel of Jeff Boyle of Patrick, Wilkinson, Goeller and Modesitt, the publication cover artistry of Carolyn Phillips, the computer expertise of LeRoy Sedgwick and the contributions of the Clay Community School staff in general. Finally, I would like to thank the Indiana Commission on Public Records, Mr. Jerry Handfield and especially Mr. Stephen Towne for their willingness to assist in seeing that this project went forward.

Cam Stewart Weber
Consulting Archivist
Terre Haute, Indiana

May, 1991

How to Use the Guide

The records retention schedule presented in the following pages is based upon the experiences of Clay Community Schools and is offered as a guide for individual school districts.

1. Review and revise the guide to identify those records which are applicable to your own record types. The disposition of record types identified in the following schedule reflect both those that are determined by statute and by standard records management practice.

2. Obtain approval from the local commission of public records.

3. Obtain signatures from the local commission, superintendent, and school corporation attorney to give the schedule authority.

4. Designate one staff member, usually the Business Manager or upper level administrative staff person, to be the system's records coordinator. This person should assist other staff with coordinating the retention and disposal of records.

5. Train staff in record retention procedures.

6. Establish a regular schedule for disposal of records. Once a year is usually adequate. NOTE: If records to be disposed are NOT included in the retention schedule, approval must be obtained from the local commission of public records.

7. Review the record retention schedule on a regular basis. If changes are made to the schedule, it will need to be re-adopted by the local commission.

Statement of Authority

The undersigned have reviewed the following Record Retention Schedules and recommended the contents:

Oversight Committee on Public Records Date

[Local Commission of Public Records] Date

[Superintendent of School Corporation] Date

[Attorney for School Corporation] Date

[This is a sample statement of authority. Schools should copy this form, delete all the lines with brackets [ ] and replace with the appropriate signatures.]

Establishing a Records Management and Archives Program

Rarely does one think about the life span of a particular piece of paper when one goes about drafting a memo, or writing a report. But the accumulation of millions of such pieces can be either an asset to an organization, or a liability. The degree to which an organization properly manages its information in its various forms (paper, machine readable, taped, photographs, video) is often a deciding factor in whether it is capable of functioning efficiently and effectively. This begins with an understanding of the **life cycle of records**.

Information, like human beings, has a birth, life, and death. It begins when the document (or other format) is created, completes whatever function it may have, and is filed. Organizations with no control over their records will let the future of each document be decided individually, often on a random basis. In the course of time, until the "death" of the record (i.e. it is destroyed), the document may have needlessly taken up costly space or cannot be located in the mass of documents. Records in a well managed organization will have a planned **life cycle**. From the time a record is created, staff will know how long the document will be kept, and the manner in which it should be discarded. File plans and record storage arrangements will be based upon this knowledge.

Two different kinds of programs address the needs of records managed according to their life span. A **records management** program addresses the needs of records which will be retained only for a specified length of time. An **archives program** addresses the needs of records which will be retained permanently. The two kinds of programs are intricately related. The better job done identifying the short term records means the easier it is to manage the archives program. The goals of the two programs are somewhat different, however. In managing a records management program one aims to be as efficient as possible, establishing a system for discarding records as soon as they are no longer needed. A key aim of an archives program is to manage the records so that they are preserved for as long as possible.

One component to the success of a records program is its **authority**. It must be clearly established who owns the records and who has the right to authorize the retention and destruction of them. In Indiana, the ownership of school records is clearly defined by the state code. Records created in the course of general business of school operations are school records (i.e., not personal papers) and therefore public documents. As such, retention or disposition of school records must follow statutory guidelines.

The most efficient means for controlling the retention and destruction of records is to have **record schedules** in place. Record schedules are a personalized plan for an organization which generally dictates how long to keep each kind of record. The plan in essence gives direction to the life cycle of the record. Such a schedule is created taking into account any legal or statutory regulations concerning the retention of that particular record type. A record schedule may list fifty types of records or five thousand, depending on the size of the organization. It is approved at the highest level of the organization, so that it has adequate authority to be effective. To be most useful, a schedule needs to be updated regularly, to include new types of forms or documents which an organization uses.

A record schedule is devised based upon information collected in a **record inventory**. A record schedule can be drawn up without the effort of an inventory, but such a schedule will not be as comprehensive as is necessary. The purpose of a record inventory is to identify every type of record which an organization creates, and looking at the records as a whole, determine which ones are kept for what length of time. It is a one time, comprehensive snapshot of the organization's records and record keeping practices. The kinds of information collected in the course of an inventory can vary, but at a minimum must include the volume and dates of the records, the office of origin, the record title, the frequency of their use, the format and order of the records and any restrictions on their use.

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A **records center** is an essential factor in what makes a records management program a cost effective tool for an organization. A center provides low cost space to house records which are not frequently needed but must be retained for a number of years. Generally, records in such a center are very simply maintained, on pallets even, or inexpensive shelving. The records are retrievable because they are well organized and labelled, but they are not taking up high cost office space and equipment.

While a records management program addresses the needs of records which are retained for a term of years (perhaps 5 or 20 years), an **Archives** program addresses the concerns of records which are to be kept permanently. This is generally 3-4% of the total volume of an organization's records. Sometimes an organization will want to keep these records themselves, on site and try to care for them there. Other times it may be best to give these records to an historical agency which is more prepared for the special demands of these kinds of records. When an organization decides to keep permanently valuable records, special precautions must be taken in their care. The records must be in a secure, environmentally controlled area. Care must be taken in the handling and boxing of such records. Adequate descriptions must be made of the records to reduce the amount of wear and tear they will receive as individuals use them. Because of the special attention archival records require, their management is best undertaken by a trained individual.

Machine readable records provide a special challenge to school officials. For the most part, the technology is new enough that simply learning to use it is sufficiently trying, without the added complications of what and how to preserve the information. The same concerns that one has when dealing with paper documents, such as scheduling, disposing of, and storing records, apply also to machine readable records. As machine readable records are more easily destroyed, it is essential to remember that Indiana public school records in machine readable form are still governed by the statutes that apply to the access, retention, and destruction of all public records.

There was a time when it was thought that microfilming records was the solution to all record storage and preservation problems because it would shrink the volume of records and theoretically, make the problems more manageable. It is certainly clear now that microfilming records in some circumstances will only greatly compound existing problems. Microfilming is best done for a series of records which are very well organized, are of great volume, and perhaps receive little use. Or it may be useful in circumstances where the original record is voluminous and much too fragile to be used on a regular basis. It should not be done where the original records are poorly organized, or are illegible. In many circumstances where microfilming was once done, and in a situation where space is not so much an issue, preservation photocopying may be a more logical solution.

Records management and archives programs address the ongoing concerns of record keeping. **Disaster planning and vital records** programs are more specialized programs which are every bit as essential for an organization to undertake. A disaster plan is a prearranged scenario for what to do with an organization's records in the event of a calamity. It may range from an isolated fire in the records area to a catastrophic earthquake. Having a disaster plan in place and updated regularly will reduce the effect of such a catastrophe by having a well laid out plan for reducing the impact of the disaster and foreseeing the needs of preserving the records. Disaster plans usually involve planning with outside individuals such as the fire or police departments and knowledge of where to go to minimize the effect of water or fire damage on records. Having a Vital Records program in place, as well, will certainly minimize any immediate difficulty following a disaster. The goal of a vital records program is to identify and duplicate those records within an organization which are essential to getting an organization up and running the day after a disaster. Once identified and duplicated, the record copies are held in a separate location.

Cam Stewart Weber
Consulting Archivist

Section 1b.

Records Management Terms

Educational Record Those records that are directly related to a student and maintained by an educational agency or institution or by a party acting for the agency or institution. [34 CFR 99.3 identifies several types of records that are not educational records.]

Non Record All identical copies of forms, records, reference books, and exhibit materials which are made, or acquired, and preserved solely for reference use, exhibition purposes, or publication and which are not included within the definition of a record.

Personal Record 1) All documentary materials of a private or non-public character which do not relate to or have an effect upon the carrying out of the constitutional, statutory, or other official or ceremonial duties of a public official, including: diaries, journals, or other personal notes serving as the functional equivalent of a diary or journal which are not prepared or utilized for, or circulated or communicated in the course of, transacting government business; or

2) materials relating to private political associations, and having no relation to or effect upon the carrying out of constitutional, statutory, or other official or ceremonial duties of a public official and are not deemed public records.

Record All documentation of the informational, communicative or decision-making processes of state government, its agencies and subdivisions made or received by any agency of state government or its employees in connection with the transaction public business or government functions, which documentation is created, received, retained, maintained, or filed by that agency or its successors as evidence of its activities or because of the informational value of the data in the documentation, and which is generated on:

1) paper or paper substitutes
2) photographic or chemically based media
3) magnetic or machine readable media
4) any other materials, regardless of form or characteristics.

Retention schedule A set of instructions prescribing how long a record series shall be kept.

Section 2: Introduction

Each state has its own method of providing for the retention and disposition of public school records. This section addresses these issues as they relate to the practices in Indiana. Information on the statutory requirements for the retention and disposition of specific records is included in the retention schedules.

In Indiana, as in many states, the state statutes provide the most authoritative information on care of public documents. The Indiana Code provides this information for public school records in several areas. Guidance is provided on the following topics:

- Responsibility for public school records IC 5-15-6
- Access to records IC 5-14-3-1 to 10; IC 20-4-1-4
- Confidentiality of school records IC 5-14-3-1
- Destruction of school records IC 5-15-6-3
- Time frame for retaining specific school records (see specific records in the record schedules)

In creating record retention schedules for school records, state statutes are the single most important source for determining the legality of the schedules. Federal statutes are also essential. Often state and federal statutes do not address the same kinds of records. For instance, state statutes in Indiana are more comprehensive when addressing the retention of financial records. Federal statutes are more complete than the state ones when pertaining to federal programs (such as Title I or VI; or the Affirmative Action program.) When state and federal statutes both address a particular kind of record, with different retention lengths, the longer length is the wiser one to follow. It is important to note, however, that neither state or federal statutes address all kinds of records. When developing a retention period for those records, it is particularly important for the proper authorities to review and approve the schedules.

Section 2a. Access to and Confidentiality of Records

As caretakers of the public record, school officials have an obligation to make records available to those who seek them, with a few exceptions. "Access to Public Records" (IC 5-14-3) spells out the duties and responsibilities of those accountable for the management of public records. Public records are defined as those "created, received, retained, maintained, used, or filed by or with a public agency and which is generated on paper, paper substitutes, photographic media, chemically based media, magnetic or machine readable media, or any other material, regardless of form or characteristics." (IC 5-14-3-2)

The Indiana Code states that the burden of proof for the non-disclosure of a public record should be on the public agency that would deny access to the record and not on the person seeking to inspect and copy the record. (IC 5-14-3-1) Although some records (see below) are exempt from disclosure, any person may inspect and copy school records during regular business hours, if the request: a) identifies the record being requested "with reasonable particularity"; b) is "at the discretion of the school, in writing or on a form provided." Furthermore, according to IC 5-14-3-3, the individual need not explain the purpose of the request, unless required by another applicable statute. The school is obliged to either provide the requested copies or allow the person to do the copying on the school's or their own equipment.

Recent legislation by the Indiana General Assembly clarified access to electronic records. Under IC 5-14-3 keepers of public records which are in electronic form must "make reasonable efforts to provide to a person making a request a copy of all disclosable data contained in the records on paper, disk, tape, drum, or any other method of electronic retrieval if the medium requested is compatible with the agency's data storage system." (IC 5-14-3-2) Agencies may charge for direct costs of providing a "duplicate of electronically stored data onto a disk, tape, drum, or other medium of electronic data retrieval . . ." (IC 5-14-3-2) Agencies are still responsible for separating disclosable from non-disclosable information. The law does allow agencies to charge "direct costs" if the agency needs to reprogram their system to separate information.

Access to individual student files is established by federal and state law. The Buckley Amendment or Family Educational Rights and Privacy Act of 1974 gives parents and/or students access to their records and provides a means to challenge information contained with those records. Indiana state law (IC 20-10.1-22.4) gives parents, (both custodial and non-custodial, unless denied by court order), court-appointed guardians, or students over the age of 18 access to their student records. Parents retain access to their child's records even after age 18 if the child is still a dependent. Indiana statute (20-8.1-6.1-1) does not require legal guardianship by third parties if that third party supports, cares and houses the student because the student's parents can not support the student. The Custodial Agreement Form, in accordance with IC 20-8.1-6.1-1 (c), establishes that the person shall, "with respect to dealing with the school corporation . . . assume all the duties and be subject to all the liabilities of the parent of the student in the same manner as if the person were the student's parent." Schools must maintain a list of those who request access to and the disclosure of personally identifiable information from the records. Parents, eligible students, designated school staff, or those who request directory information from student files need not be listed.

The list of records which are exempt from being disclosed is lengthy. They fall into two categories: those that are closed specifically by a state or federal statute, or court order; and those that are closed at the discretion of the public agency. Among the records that are identified in the first group are grade transcripts, license examination scores and patient medical records. Examples of those falling into the second category are test questions, scoring keys, and other examination data, scores of tests with non-consenting person identified by name and personnel files of employees and applicants. In any case, even confidential records are open to the public after 75 years, unless the record concerns an adoption.

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Section 2b. The Proper Disposal of Records

All records which are created by a school corporation are considered public records. Procedures for obtaining the approval to destroy school records are the same as for destroying other public records. There are a number of players in the process of approving the destruction of school records.

Oversight Committee on Public Records, a state level committee, oversees the activities of the Indiana Commission on Public Records and approves all record retention schedules of state agencies.

Indiana Commission on Public Records oversees records created by state agencies and assists local government agencies with their records programs.

Local Commission of Public Records consists of the judge of the circuit court (ex-officio), the president of the board of county commissioners, the county auditor, the clerk of the circuit court, the county recorder, the superintendent of schools of the school district in which the county seat is located, and the city controller of the county seat city, (if there is no city controller, the clerk treasurer of the county seat city or town.)

The local commission determines the final disposition of public records of local government agencies. The county commission adopts record retention schedules for local government records. Requests for disposition of local records (destruction or transfer) not covered by a records retention schedule or exceptions to an approved retention schedule must be approved by the local commission.

County historical/genealogical societies are designated by state law to be made aware of local public records at the time of the approval of a records retention schedule or their destruction. If the society is able to care for the records they may request to take them.

Essentially the process of destroying school records is the following:

A) The records coordinator collects records from staff for disposal.

B) If the records retention schedule has been approved by the Local Records Commission and the record type is listed in the schedule, school corporations may destroy the records in an appropriate manner.

C) A record of the destruction is made with a copy to a) county clerk's office, and b) the State Archives. A letter listing the records destroyed is a suitable record of destruction. Schools can also use Form PR 1. The school must retain a record of destruction permanently.

D) If a school district wants to dispose of a record type which is not listed in the retention schedule, a PR 1 form is necessary. (See Appendix for sample forms). Approval must be granted from the local commission of public records.

Finally, it is important to note that records which are deemed confidential must be treated as such in any maintenance, storage, transfer or other disposition affecting them. Confidential records which are scheduled for destruction must be destroyed in such a manner that they cannot be read, interpreted or reconstructed. (IC 5-15-5.1-13)

Section 2c. Penalties for Destruction of Records

Properly managing public school records costs money and takes space. Yet the benefits are significant. Furthermore, the consequences of neglecting the records may be catastrophic. One, legal penalties may be incurred for not safeguarding records. Two, the school system becomes vulnerable to monetary losses from lawsuits for which proper evidence is lacking.

The following state statute prohibits the destruction of records unless approved by the commission;

IC 5-15-6-8: A public official or other person who recklessly, knowingly or intentionally destroys or damages any public record commits a class D felony unless:

1) the commission shall have given its approval in writing that the public records may be destroyed;

2) the commission shall have entered its approval for destruction of the public records on its own minutes; or

3) authority for destruction of the records is granted by an approved retention schedule established under this chapter.

In particular, Indiana Public Schools may

a) use the enclosed retention schedule if adopted by their Local Records Commission

b) retain records less than three years if so stated in an approved retention schedule

c) destroy original filing records prior to the time lapsing for filing legal proceedings if records have been reproduced in a manner complying with legal standards.

Vulnerability to lawsuits is perhaps a more potent reason for some school officials to protect records. Maintaining records adequately (i.e., keeping the right records, and having the ability to find what you need) is the surest way to protect a school corporation from lawsuits. In general, the public record may be the only form of evidence one may have to protect oneself.

Section 2d. Reproduction of Records

Often, school corporations in interest of saving space, will want to reproduce or make copies of original school records and destroy the originals. According to the to IC 5-15-1-1, this is permissible if the following conditions have been met:

a) original filing records may be destroyed prior to the expiration of a statute of limitations if the records have been reproduced in a manner complying with professional standards;

b) the final decision on the destruction of the records still rests with the county commission of public records;

c) any micrographic reproductions of the originals comply with the standards of quality developed under IC 5-15-5.1-8, amended by Acts 1979, P.L. 40, SEC. 16.

If these conditions are met, the copies or reproductions will have the same force and effect as the original records. They may be received in evidence in court provided the reproductions are properly certified as to authenticity and accuracy by the official custodian of the records.

Section 2e. Electronic Record Formats

These days records can appear in paper, tape, disk, and film. While the spotlight is often on the medium, it is the information contained in that format which is the focus of any retention and disposal concerns. Issues of confidentiality, access, and preservation still need to be considered.

Indiana has addressed access to electronic records in IC 5-14-3. Schools need to keep this statute in mind when working with electronic records. As stated in the law, records keepers must provide access to public records regardless of the format.

The preservation of electronic records, whether the record type needs to be maintained for three years or forever, can be difficult in today's environment of rapidly changing technology. Record creators have the responsibility to maintain information in a manner in which it can be used. To ensure that the information in electronic formats is accessible, schools should make it a standard practice to consistently identify disks or tapes. Information that should be recorded on the outside of the disk, tape or container can include:

- description of the data
- name of system on which medium is to be used
- application software name and version number
- media capacity and density
- recording date(s)
- security precautions and access restrictions
- type of copy (storage, working, backup, etc.)
- special attributes
- other information that provides clues to the data stored

The need to maintain electronic records should also be taken into consideration when upgrading software or hardware. Many institutions have been stuck with unreadable tapes and disks because the technology no longer exists to access a particular medium. Electronic files, particularly those designated as permanent records, need to be upgraded as well.

Unfortunately, the long-term stability of most electronic means of storage is still questionable. Electronic records need to be stored in stable environments. Many institutions have opted to convert electronic records to computer-output-microforms (COM) for long-term storage. When making decisions about long term storage of records in electronic formats, schools should question suppliers about the stability of the medium over the long term, contact the Indiana Commission on Public Records for guidance, and discuss the requirements of long-term records retention with your own school computer specialists. Other sources of information include the organizations and publications listed in the Appendix. Information about electronic storage of records is evolving as new technologies are developed and old technologies are improved. Schools need to balance the needs of access to their records and the most cost-effective solutions with appropriate long and short-term methods to preserve their records in an effective manner.

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Section 3 - School Record Retention Schedules

Introduction

A. The general principles of school records retention in Indiana are:

1) The length of time school records (i.e., any document created by a school corporation relating to any subject) must be retained is established by state statute. Some Federal statutes may also apply: where this is the case, whichever authority imposes the longer term of years for retention is the one that applies. At this writing, several statutes of the Indiana Code (IC) comprise our understanding for how long school records must be maintained. Simplified, they are thus interpreted:

a) school records may be destroyed prior to three years if a retention schedule identifying such records has been authorized by the Local Records Commission and the State Oversight Committee on Public Records. (IC 5-15-6)

b) records of extra-curricular account files must be retained five years at a minimum. (IC 20-5-7-2).

c) cafeteria records must be maintained between three and five years if managed by general corporation funds, or five years if by extra-curricular funds. (IC 20-5-6-4 through 20-5-13-5).

2) In addition, no school "financial records" may be destroyed until after audit (i.e. "records audited, report filed, and exceptions handled satisfactorily.") (IC 5-15-6-3) The definition of what is a financial record is left to interpretation.

B. Arrangement of the retention schedules:

The retention schedules are arranged according to where in a school corporation the records are housed. Therefore, the records are initially broken into two sectors, those housed in the administrative headquarters and those found among the schools. Within these two sectors the schedules are arranged broadly by the type of office which has created them, i.e., Personnel, Financial Services, Title I, etc. Within the office, the types of records are listed alphabetically. Some types of records which are often found in several offices, such as personnel files, are listed below in each place. When the location is in question, the record disposition information will be listed among the records at the Administration headquarters.

C. Explanation of Terms

Record Title and Description:
Contains a description of the type of record (also known as a record series title). The group of materials may be identifiable as a "record series" because it relates to a particular function or subject, may result from the same activity, have a particular form, or because of some other relationship arising out of its creation, receipt or use.

Retention Period:
Identifies the term of years that the record must be retained, beginning at the end of the calendar year in which the record was created. Ex: a document dated March 1982 which has a retention period of 5 years may be considered appropriate for disposition after December, 1987.

Disposition Instructions
Provides additional information relevant to the retention period, such as the terms under which a record may be discarded. The column also includes citations for the laws (state or federal) which govern the retention of this type of record, recommendations on microfilming of records, and the identification of confidential records.

Abbreviations:

CFR:	Code of Federal Regulations
Confidential:	indicates the record described is confidential; i.e. it should be created, maintained and destroyed in a confidential manner. The record is not open to the public.
IC:	Indiana Code
Indefinite	Retention of records identified as such is indefinite and depends upon the information provided in column labelled "Disposition Instructions." Records labelled to be retained on an indefinite basis always assumes a minimum of three years retention.
M:	Microfilm. The Indiana State Archives, Commission on Public Records recommendation of when it may be useful to microfilm the record, then discarding the original. Example: M(15) indicates that the record may be microfilmed after it has been retained for 15 years. Note that microfilming is best undertaken as a space saving measure, or to reproduce materials suffering from deterioration, not because in and of itself microfilm is easier to preserve or use (than the original medium.)
P	Indicates that the record must be retained permanently.

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Record Title\Description	Retention Period	Disposition Instructions

Administrative Records
(located in the headquarters or main office of the district)

1.1 Administration - Board of Trustees

Agendas, local Board of Education meetings	P	Retain permanently
Minutes, unofficial of local Board of Trustees/Education	Indefinite	Destroy when official minutes approved.
Minutes, Official of local Board of Trustees/Education	P	Retain permanently M (10) Originals may be destroyed when filmed.
Tape recordings (audio/video) of board meetings	Indefinite	Destroy when official minutes approved. Note: Recordings of meetings in which important policy or community decisions are discussed should be considered for possible permanent retention.

Record Title\Description	Retention Period	Disposition Instructions
1.2 Administration - General		
Absence record, daily	1	Destroy
Abstracts/deeds/ title papers/mortgages	P	Retain permanently
Agenda, Administrative meetings	Indefinite	Destroy when no longer useful
Annual report	P	Retain permanently M(10) Originals may be destroyed when microfilmed.
Authority to dispose of records	P	Retain permanently
Bonds and coupons, paid	Indefinite	Until debt is retired and after audit
Bond issues (enabling documentation)	P	Retain permanently
Bond ledgers/registers	Indefinite	Until debt is retired and after audit.
Calendar, for staff and curriculum	5	Destroy
Correspondence, Litigation, Personnel	10	Destroy **Confidential**
Correspondence, Official from Superintendent (Documents major functions, activities, programs, decision making, important events in school district's history)	P	Retain permanently
Estimated enrollment	3	Destroy
Evaluations of Administrators	P	Retain permanently **Confidential**
Grant applications, approved	Indefinite	Retain 5 years after program is completed and after audit. 34 CFR 76.734
Grant applications, not approved	5	Destroy
Parent teacher association records (secretary's, treasurer's books, scrapbooks)	P	Retain permanently
Policy Book	P	Retain permanently

Record Title\Description	Retention Period	Disposition Instructions
Proof of publication files	3	Destroy
Publications issued by Corporation	P	Retain one copy permanently
School report card	P	Retain Permanently
Subject files of Superintendent's (May include copies of useful reports, correspondence, staff meeting minutes, notes, reports which document a variety of issues and projects of concern to the Superintendent's Office.)	Indefinite	Destroy when no longer useful.

Record Title\Description	Retention Period	Disposition Instructions
2.1 Administration - Financial Services, General		
No financial records may be destroyed until after audit completed, report filed and exceptions satisfied, per IC 5-15-6-3.		
Audit report by State Board of Accounts	P	Retain permanently
Automated financial data, stored	Indefinite	Until updated summary information
Bank Ledgers/Bank Account History	Indefinite	Destroy after 5 years and audit
Bank statements, deposit slips	Indefinite	Destroy after 5 years and audit
Budget, annual - record copy	P	Retain permanently
Daily Report (balance of depositories, cash, and investments)	Indefinite	Destroy after 5 years and audit
Form 9 state report (biannual, annual report)	P	Retain permanently M(15) Originals may be destroyed when filmed.
Full Budget Report (actual spending record)	Indefinite	Destroy after 5 years and audit
Function ledgers/Program ledgers	Indefinite	Destroy after 5 years and audit
Fund ledger: all funds	Indefinite	Destroy after 5 years and audit
Insurance (school corporation), contracts	Indefinite	Destroy 10 years after expiration of contract
Object budget report	Indefinite	Destroy after 5 years and audit

Record Title\Description	Retention Period	Disposition Instructions
2.2 Administration – Financial Services, Payroll		
Absence records	4	Destroy after 4 years and audit
Adjustment sheets (extra earnings)	4	Destroy after 4 years and audit
Direct Deposit report, per payroll period	3	Destroy after 3 years and audit
Direct Deposit, transfer report	3	Destroy after 3 years and audit
Employee earning's record, yearly	P	Retain permanently
Extra earnings report (Exception report)	6	Destroy after 6 years and audit
Indiana Department of Employment and Training Services Report	P	Retain permanently M(5) Originals may be destroyed when filmed.
Payroll Annual report (included in School Report Card)	P	Retain permanently
Payroll check registers	3	Destroy after 3 years and audit
Payroll Deductions ledger	4	Destroy after 4 years and audit
Payroll Exception File (extra earnings and substitute earnings)	4	Destroy after 4 years and audit
Payroll ledger	P	Retain permanently M(5) Originals may be destroyed when filmed.
Payroll register, trial journal	5	Destroy after 5 years and audit
PERF, worksheets (balanced out)	3	Destroy after 3 years and audit
PERF report (quarterly)	P	Retain permanently M(5) Originals may be destroyed when filmed.
Retirement Gross report, per pay period	3	Destroy after 3 years and audit
Retirement Gross report, quarterly	3	Destroy after 3 years and audit
Salary distribution report	5	Destroy after 5 years and audit

Record Title\Description	Retention Period	Disposition Instructions
Social Security report	P	Retain permanently M(5) Originals may be destroyed when filmed.
Substitute pay report; teaching, non-teaching substitute edit report	4	Destroy after 4 years and audit
Tax Report - Federal (Form 941)	4	Destroy after 4 years and audit
Tax Report - Indiana (Form WH1R) State Quarterly	4	Destroy after 4 years and audit
Teachers Retirement report, Indiana (P-31)	P	Retain permanently M(5) Originals may be destroyed when filmed.
Time card summary report (payroll information worksheets)	4	Destroy after 4 years and audit
Time Cards	4	Destroy after 4 years and audit
Union Dues report (ISTA-NEA)	5	Destroy after 5 years and audit
W-2 & 1099 forms	4	Destroy after 4 years and audit
W-4 forms	Indefinite	Destroy when replaced with new form or when staff member becomes inactive.
Year to date register, teaching and non-teaching (trial balance)	5	Destroy after 5 years and audit

Record Title\Description	Retention Period	Disposition Instructions
2.3 Administration - Financial Services, Accounts Payable		
Appropriations, allotments, encumbrances, disbursements, balances ledger	Indefinite	Destroy after 3 years and audit
Budget report, by object	3	Destroy
Cash report, monthly	5	Destroy after 5 years and audit
Check register	6	Destroy after 6 years and audit
Checks, cancelled, returned or voided	10	Destroy after 10 years and audit
Claims, vouchers	6	Destroy after 6 years and audit
Claims docket	3	Destroy after 3 years and audit
Clearing account ledger (fund ledger)	5	Destroy after 5 years and audit
Disbursement journal	10	Destroy after 10 years and audit
Duplicate deposit slips	Indefinite	Destroy when no longer useful
Edits, printout after postings	1	Destroy
Investment, correspondence	Indefinite	Destroy when no longer useful
Investment register	P	Retain permanently
Leave approval forms	3	Destroy
Purchase orders, cancelled	3	Destroy after 3 years and audit
Purchase orders, completed	3	Destroy after 3 years and audit
Purchase requisitions	3	Destroy after 3 years and audit
Receipts	3	Destroy after 3 years and audit
Receipts ledger	5	Destroy after 5 years and audit
Receipts and disbursements journal	P	Retain permanently M(10) Originals may be destroyed when filmed.

Record Title\Description	Retention Period	Disposition Instructions
Statements, outstanding, month end	Indefinite	Destroy when no longer useful
Supporting documentation for income	Indefinite	Destroy when no longer useful
Utility ledgers	Indefinite	Destroy when no longer useful
Vendor ledger	3	Destroy after 3 years and audit
Warrant/check registers	6	Destroy

Record Title\Description	Retention Period	Disposition Instructions
2.4 Administration – Financial Services, Voluntary Deductions & Insurance		
Annuity statements, individuals	Indefinite	Destroy when superseded
Benefit Plan election form (Cafeteria Plan or Flexible Benefit)	10	Destroy
Benefit Records	10	Destroy
Change/Verification of election form	Indefinite	Destroy after superseding form is filed, authorization expires, or employee is terminated.
Correspondence, general	Indefinite	Destroy when no longer useful.
Deduction Recap	3	Destroy
Health Insurance Application form	Indefinite	Destroy after superseding form is filed, authorization expires, or employee is terminated.
Insurance, accounts (including reports of)	10	Destroy
Insurance bids, accepted	5	Destroy
Insurance bids, rejected	3	Destroy
Insurance, claims & bills (including reconciliation)	5	Destroy
Insurance, commodities	3	Destroy
Insurance, contracts	Indefinite	Destroy 10 years after expiration of contract
Monthly deduction recap, individuals	3	Destroy
Staff Deductions files Can include: Insurance selection Annuity forms Correspondence Statements	Indefinite	Destroy after superseding form is filed, authorization expires, or employee is terminated.
Transmittal forms (health and dental) changes to insurance company	Indefinite	Destroy after superseding form is filed, authorization expires, or employee is terminated.

Record Title\Description	Retention Period	Disposition Instructions
3.1 Administration – Business Services, Building Services		
Bids, sealed - not accepted	5	Destroy
Bids, sealed - accepted	10	Destroy
Contracted work orders	10	Destroy
Correspondence, construction projects	Indefinite	Destroy when no longer useful
Drawings, blueprints, specifications (planned design drawings)	Indefinite	Destroy when no longer useful
Drawings, blueprints, specifications (as built drawings)	P	Retain permanently
EPA Asbestos abatement records	P	Retain permanently
EPA Asbestos inspections reports	3	Destroy 40 CFR 763.94
IDEM Monthly treatment plan lab reports (sewage treatment)	3	Destroy
Manuals, operation & maintenance	Indefinite	Destroy when superseded
State Fire Marshal annual site inspection reports	3	Destroy

Record Title\Description	Retention Period	Disposition Instructions
3.2 Administration – Business Services, Computer Services		
Back-ups	Indefinite	Destroy when superseded
Contracts/Service Agreements	10	Destroy 10 years after expiration of contract
Correspondence	Indefinite	Destroy when no longer useful
CPF (Capital project files)	Indefinite	Destroy when no longer useful
4R Grants	5	Destroy after 5 years and audit
Manuals	Indefinite	Destroy when no longer useful
Packing slips	3	Destroy
School files	Indefinite	Destroy when no longer useful
Technology plan	Indefinite	Destroy when no longer useful
Vendor files	Indefinite	Destroy when no longer useful
Work requests	1	Destroy

Note: Electronic records identified in the schedule are based upon the information they contain not the medium on which the information is stored (paper, microfilm, computer disk or tape, etc.). To determine retention periods look under the section which produces that information.

Record Title\Description	Retention Period	Disposition Instructions
3.3 Administration -- Business Services, Food Services		
Cafeteria records must be retained 5 years per IC 20-5-6-4 to 13-5.		
Cafeteria expenditure report, monthly (claims docket)	5	Destroy
Claim reimbursement form (State lunch program IND 1 DOE 1092), monthly	5	Destroy
Claims breakdown	5	Destroy
Daily cashier's reports	5	Destroy
Equipment valuation report	5	Destroy
Food quotes	5	Destroy
Free and reduced meal applications (included textbook assistance forms)	5	Destroy **Confidential**
Fund ledger	5	Destroy
Guidelines	Indefinite	Destroy when superseded
Menus/Daily Production Sheets	5	Destroy
Milk and bread bids, accepted	5	Destroy
Milk and bread bids, not accepted	5	Destroy
Milk and bread bills (claims)	5	Destroy
Monthly cashier's report	5	Destroy
Policies -- federal, state, local	Indefinite	Destroy when superseded
Profit and loss statement	5	Destroy
Receipt ledger	5	Destroy
State contracts	Indefinite	Destroy 10 years after expiration of contract
USDA Commodity allotments	5	Destroy
Weekly cashier's report	5	Destroy
Year end inventory	5	Destroy

Record Title\Description	Retention Period	Disposition Instructions
3.4 Administration – Business Services, Transportation Services		
Bus care reimbursement form	3	Destroy
Bus conduct report	3	Destroy
Bus Driver contract	Indefinite	Destroy 10 years after expiration of contract
Bus Driver personnel file	P	Retain permanently
Bus Driver physical forms	Indefinite	Destroy 10 years after expiration of contract
Bus Driver time sheets	4	Destroy
Bus Safety Inspection report (Indiana State Police)	3	Destroy
Field trip payroll report, biweekly	10	Destroy
Field trip reports	3	Destroy
Form DOE-TN (Indiana, replaces EIR-5 form)	5	Destroy
Form 32-9 (IN)	5	Destroy
Gas record form	3	Destroy
Handicapped Transportation Report	5	Destroy **Confidential**
Occupational Safety & Health Association annual report	5	Destroy 29 CFR 1904.6

Record Title\Description	Retention Period	Disposition Instructions
4. Administration -- Personnel		
Affirmative Action files (includes litigation, hearing and complaint files)	Indefinite	Destroy 5 years after case closes **Confidential**
Applications, administrators, teachers, substitute teachers, clerical and building services - hired	P	Retain permanently M (10) Originals may be destroy after filmed. **Confidential**
Applications, administrators, teachers, substitute teachers, clerical and building services -- not hired	5	Destroy **Confidential**
Applications for student teachers	Indefinite	Length of employment
Employee service record	P	Retain permanently M (5) Originals may be destroyed after filmed.
Equal employment opportunity reports/summary data	3	Destroy 29 CFR 1602.39-41
Handbooks, classified and certified staff	P	Retain one copy permanently
Leave forms, personnel	4	Destroy
Leave forms, professional	4	Destroy
Master contract files	P	Retain permanently M (10) Originals may be destroyed after filmed.
Negotiating files, teachers	Indefinite	Retain until contract expires
Negotiating files, non-teachers	Indefinite	Retain until contract expires
Notice of job vacancies ("postings")	3	Destroy
Orientation booklet	3	Destroy
OSHA employee accident reports	5	Destroy 29 CFR 1904.6
OSHA employee exposure records	Indefinite	Retain 30 years after termination or retirement 29 CFR 1904.20

Record Title\Description	Retention Period	Disposition Instructions
OSHA employee medical records	Indefinite	Retain 30 years after termination or retirement 29 CFR 1904.20
Personnel files, classified and certified - hired May include: employment application professional certificates transcripts employment contracts evaluations	P	Retain permanently **Confidential** According to IC 5-14-3-4 (b)(8) personnel files of public employees are confidential except for the "(A) the name, compensation, job title, business address, business telephone number, job description, education and training background, previous work experience, or dates of first and last employment of present or former officers or employees of the agency; (B) information relating to the status of any formal charges against the employee; and (C) information concerning disciplinary actions in which final action has been taken and that resulted in the employee being disciplined or discharged."
Personnel files, classified and certified - not hired	5	Destroy **Confidential**
State Teacher's Retirement Fund records	P	Retain permanently
Substitute Record cards	P	Retain permanently
Teacher Permanent Record cards	P	Retain permanently M(10) Originals may be destroyed when filmed.

Record Title\Description	Retention Period	Disposition Instructions
5. Administration -- Students		
Correspondence, Litigation, Student	Indefinite	Retain until case is settled **Confidential**
Enrollment report (six weeks)	5	Destroy
Enumeration for School Purposes (Local census of school children)	P	Retain permanently
Student due process files (expulsion record)	5	Destroy **Confidential**
Student handbooks	P	Retain one copy permanently

Record Title\Description	Retention Period	Disposition Instructions
6.1 Administration -- Instruction, Audio-Visual		
Equipment Inventory	5	Destroy
Utilization - Maintenance Records	Indefinite	Destroy when no longer useful

Record Title\Description	Retention Period	Disposition Instructions
6.2 Administration – Instruction, Adult Basic Education		
Adult Education Final Report (state report)	P	Retain permanently
Annual Performance Report	P	Retain permanently
Calendar	Indefinite	Destroy when no longer useful
Financial Report	3	Destroy after audit
Learner Folder Can include: Registration form Testing results Court order Outside agency referrals	5	Destroy 5 years after last contact with learner **Confidential**
Learner Year End Data/Exit Information	5	Destroy 5 years after last contact with learner **Confidential**
Learner Work Folder (work in progress)	5	Destroy 5 years after last contact with learner
Monthly Report, outside agencies	3	Destroy
Monthly listing of new enrollees	3	Destroy
Outside agency contract	Indefinite	Destroy 10 years after expiration of contract
Request for Funds under the 306 Section of the Adult Education Act	P	Retain permanently
Sign In/Out Sheet (class attendance)	5	Destroy
STAR (Student Time and Attendance Reporting)	5	Destroy
Student Roster	3	Destroy
Summary of Expenditures	3	Destroy after audit

Record Title\Description	Retention Period	Disposition Instructions
6.3 Administration -- Instruction, Chapter 1/Title I		
Absence records	5	Destroy
Achievement test score sheet/score booklet	5	Destroy 34 CFR 11 204.10 **Confidential**
Allocation letter	P	Retain permanently
Annual Budget\Expenditure Report	5	Destroy after audit
Annual project evaluation	P	Retain permanently
Annual project evaluation workfile	Indefinite	Destroy when no longer useful
Comparability report	5	Destroy
Coordination record, student	5	Destroy **Confidential**
Correspondence, parent	5	Destroy **Confidential**
Correspondence, staff	5	Destroy
Equipment inventory	5	Destroy
Evaluations, certified staff	P	Retain permanently **Confidential**
Evaluations, classified staff	5	Destroy **Confidential**
Home visit documentation	5	Destroy
Loss and gain form (Achievement Data)	5	Destroy **Confidential**
Needs assessment ranking report	5	Destroy
Newsletter	P	Retain one copy permanently
Newsletter, work files	Indefinite	Destroy when no longer useful
Priority list (need definition)	5	Destroy

Record Title\Description	Retention Period	Disposition Instructions
Professional development information	Indefinite	Destroy when no longer useful. Records noting individual staff training should be transferred to the individual's permanent record.
Project\program application, approved	5	Destroy
Project\program application, not approved	5	Destroy
Project amendments, approved	5	Destroy
Project amendments, not approved	5	Destroy
Quarterly Monitoring Report	5	Destroy
Student Documentation file (program and attendance record)	5	Destroy **Confidential**
Student Exit record (Drop-out interview)	5	Destroy **Confidential**
Student selection form (includes test scores, teacher referrals)	5	Destroy **Confidential**
Target area selection report	5	Destroy
Teacher referral to program record	5	Destroy **Confidential**
Teacher's student evaluation/comments record	5	Destroy **Confidential**
Time cards	5	Destroy
Title I District Plan	P	Retain permanently
Title I Building Level Plan	5	Destroy
Weekly work schedule	5	Destroy

Record Title\Description	Retention Period	Disposition Instructions
6.4 Administration -- Instruction, Chapter 2/Title 6		
Application for Funds for Educational Programs under P.L.97-35 (program plan)	5	Destroy
Chapter 2 Budget and Expenditure report	5	Destroy after audit
Evaluation report for Chapter 2 programs	5	Destroy
Requisitions\packing slips	5	Destroy after audit

Record Title\Description	Retention Period	Disposition Instructions
6.5 Administration -- Instruction, Community Education		
Course Descriptions	Indefinite	Destroy when no longer useful
Enrollment forms	1	Destroy
Evaluation of Class	3	Destroy
General Communications	3	Destroy
IVY TECH classes, correspondence	Indefinite	Destroy when no longer useful
Listings of Classes	Indefinite	Destroy when no longer useful
News Releases	1	Destroy
Notice of job vacancies "Postings"	3	Destroy

Record Title\Description	Retention Period	Disposition Instructions
6.6 Administration -- Instruction, Curriculum		
Adopted textbook list	Indefinite	Retain through two adoption cycles
Central Curriculum Committee minutes	P	Retain permanently
Committee records Can include agendas, membership lists, and general information	Indefinite	Destroy when no longer useful
Correspondence file	Indefinite	Destroy when no longer useful
Curriculum Checklist	Indefinite	Destroy when no longer useful
Curriculum guides	Indefinite	Until superseded
Field trip requests	1	Destroy
Grant applications - approved	5	Destroy 5 years after program is completed and audit 34 CFR 76.734
Grant applications - not approved	5	Destroy 34 CFR 76.734
High school course description booklets	P	Retain one copy permanently
In-service program booklet and activities	Indefinite	Destroy when no longer useful
Innovative instructional programs	Indefinite	Destroy when no longer useful
PBA/NCA final reports	P	Retain permanently
Special Events	Indefinite	Destroy when no longer useful
State/Corporation programs Can include: Beginning Teacher Internships Prime Time Tech Prep Professional Development School Incentive Awards Indiana 2000	Indefinite	Until revised or discontinued. Financial records associated with individual programs need to be maintained for 5 years after completion of program and after audit.

Record Title\Description	Retention Period	Disposition Instructions
Testing Results records, corporation Can include: Essential Skills Summary Achievement Performance Report Evaluation Summary (district, school, grade level)	P	Retain permanently
Textbook adoption committee records	Indefinite	Minimum one adoption cycle. Destroy when no longer useful.
Waivers (textbook, curriculum, time requirements)	Indefinite	Minimum three years. Destroy when no longer useful

Record Title\Description	Retention Period	Disposition Instructions
6.7 Administration -- Instruction, GED		
Contracts	Indefinite	Destroy 10 years after expiration of contract
Receipt book	5	Destroy after 5 years and audit
Test taker file Can include: Application Correspondence Eligibility verification Test Results	5	Destroy 5 years after last contact with test taker **Confidential**

Record Title\Description	Retention Period	Disposition Instructions
6.8 Administration – Instruction, Guidance		
Guidance activities, decisions, and In-Service record	4	Destroy
School testing results records	4	Destroy
Student home visits	3	Destroy **Confidential**

Record Title\Description	Retention Period	Disposition Instructions
6.9 Administration -- Instruction, Health		
Accident Report, annual summary	3	Destroy
AIDS training - sign in sheet	3	Destroy
Alcohol-Narcotics Report	3	Destroy
Blood test report	Indefinite	Retain for length of student's enrollment **Confidential**
Correspondence files, student	Indefinite	Retain for length of student's enrollment **Confidential**
Hearing report (State Form 3998)	5	Destroy
Immunization record	P	Retain permanently **Confidential**
Immunization status (State Form 22363-Kindergarten)	5	Destroy
Informal notes (re: health, medical prohibitions)	Indefinite	Destroy when no longer useful **Confidential**
Medication at school form (lists student name and medication given)	3	Destroy **Confidential**
New Student Immunization Status (State Form 22363NE)	3	Destroy
Postural screening (State Form 4685R)	3	Destroy
Report of Alleged Child Abuse or Neglect (114R2) - investigation found no child abuse or neglect	1	Destroy **Confidential**
Report of Alleged Child Abuse or Neglect (114R2) - investigation found child abuse or neglect	Indefinite	Retain for length of student's enrollment **Confidential**
School Health Manual (ISBH)	Indefinite	Retain until superseded
Scoliosis screening, initial	Indefinite	Retain for length of student's enrollment **Confidential**

Record Title\Description	Retention Period	Disposition Instructions
Scoliosis screening, referral/follow-up	Indefinite	Retain for length of student's enrollment **Confidential**
Sickle Cell Anemia Report	3	Destroy
Sixth Grade Measles Status (22363-6)	3	Destroy
Tuberculin skin test by school	3	Destroy
Universal Precautions Training for Employees, sign-in sheet	3	Destroy
Universal Precautions Training for Employees, training information	Indefinite	Retain until superseded
Vision screening (5888)	3	Destroy
Visual acuity screening, initial report	Indefinite	Retain for length of student's enrollment **Confidential**
Visual acuity screening, referral/follow-up	Indefinite	Retain for length of student's enrollment **Confidential**

Record Title\Description	Retention Period	Disposition Instructions
6.10 Administration -- Instruction, Special Education		
Agreement to safeguard information	Indefinite	Destroy after staff member leaves program or school district employment
Annual data report - education of the handicapped	P	Retain permanently
Application for federal assistance for the education of handicapped	5	Destroy
Application for tentative approval for annual classroom units for exceptional children	5	Destroy
Grants, state and federal	5	Destroy 5 years after completion of activity and audit 34 CFR 75.730-75.732
Individual Student file Can include: Multidisciplinary Team Evaluation Reports Case Conference Committee Summaries Individualized Education Plans Transition Plans Correspondence Pertinent information regarding the student's educational placement Test protocol on student	Indefinite	Records are maintained 5 years beyond the provision of educational services to the student if the parents have not requested destruction of the records. 34 CFR 300.573 permits parents to request the destruction of personally identifiable information on their child. The parent must be informed of the destruction option (generally at graduation.) If parents request the information destroyed, the agency may retain a permanent record of a student's name, address, phone #, his or her grades, attendance record, classes attended, grade level and year completed.
Needs assessment report	5	Destroy
Quarterly summary report-education of the handicapped	5	Destroy after 5 years and audit

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Record Title\Description	Retention Period	Disposition Instructions
Psychological data follow up	Indefinite	Retain for length of student's enrollment **Confidential**
Psychological report	Indefinite	Retain for length of student's enrollment **Confidential**
Request for approval of replacement teacher	5	Destroy

Record Title\Description	Retention Period	Disposition Instructions
6.11 Administration -- Instruction, Speech & Hearing		
Audiometer tests	Indefinite	Retain for length of student's enrollment **Confidential**
Cash Record summary	5	Destroy
Medical report	Indefinite	Retain for length of student's enrollment **Confidential**
Oral Deaf Program report	Indefinite	Retain for length of student's enrollment **Confidential**
Other Speech & Hearing reports and records	Indefinite	Retain for length of student's enrollment **Confidential**
Other Speech & Hearing Therapy Referral sheet	Indefinite	Retain for length of student's enrollment **Confidential**

Record Title\Description	Retention Period	Disposition Instructions
6.12 Administration -- Instruction, Summer School		
Application for Summer School (state report)	3	Destroy after 3 years and audit
Approval Letter	3	Destroy after 3 years and audit
Attendance records	Indefinite	Destroy after information is transferred to student's record
Corporation ISTEP re-mediation and retention summary	P	Retain permanently
ISTEP final reporting form	P	Retain permanently
ISTEP preliminary reporting form	3	Destroy
News Release	1	Destroy
Student Grade Report	Indefinite	Destroy after grades are transferred to student's permanent record. **Confidential**
Student Summer School Registration	1	Destroy
Summer School Final Report	P	Retain permanently
Summer School Information Sheet (letter to parent)	1	Destroy

Record Title\Description	Retention Period	Disposition Instructions
6.13 Administration -- Instruction, Textbooks		
District Textbook requisition purchase orders	6	Destroy
School textbook reimbursement	3	Destroy after 3 years and audit
Textbook fee/rental files	3	Destroy after 3 years and audit

Record Title\Description	Retention Period	Disposition Instructions
SCHOOLS		
7.1 Administration		
Accident reports	3	Destroy
Accreditation files (PBA/NCA) (working files)	Indefinite	Retain until next accreditation cycle.
Attendance registers	3	Destroy
Attendance slips, daily	3	Destroy
Attendance summary sheets, daily	3	Destroy
Commencement programs	P	Retain permanently
Correspondence – Principal	Indefinite	Destroy when no longer useful. Items which deal with policy should be considered for permanent retention.
Correspondence – Assistant Principal	Indefinite	Destroy when no longer useful
Course textbook adoptions	Indefinite	Destroy when superseded
Daily Discipline records (bus conduct, late to class, no supplies, etc.)	5	Destroy **Confidential**
Department of Education reports (Forms 30A, 30B, PE, ES, DE, NE, LM, AS, DR, AD, TN) for state of Indiana	P	Retain permanently
Enrollment reports	3	Destroy
Excuse notes, parents	3	Destroy
Excuse notes, doctors	3	Destroy
Grade registers	3	Destroy **Confidential**
Insurance records on students	Indefinite	Destroy 10 years after expiration of insurance
Newspapers/newsletters (includes team newsletters to parents)	P	Retain one copy permanently

Record Title\Description	Retention Period	Disposition Instructions
North Central and Indiana Department of Education Reports	P	Retain one copy permanently
Parent teacher association records	P	Retain permanently
Subject files	Indefinite	Destroy when no longer needed
Yearbooks	P	Retain one copy permanently

Record Title\Description	Retention Period	Disposition Instructions

7.2 Schools – Financial Services, General

No financial records may be destroyed until after audit completed, report filed and exceptions satisfied, per IC 5-15-6-3.

Book and equipment inventory	P	Retain permanently
Long distance telephone log	3	Destroy

Record Title\Description	Retention Period	Disposition Instructions
7.21 Schools – Financial Services, Extra-curricular Account Records		
Extra-curricular account files are to be retained 5 years, per IC 20-5-7-2.		
Annual financial report (Form SA5-1)	P	Retain permanently M(10) Originals may be destroyed when filmed.
Application for free lunch/textbook assistance (Form 521)	5	Destroy **Confidential**
Bank Statements	5	Destroy
Book rental checklist (Form TBR-2)	5	Destroy
Book rental files, past due	Indefinite	Until audited
Checks, cancelled, returned, or voided	10	Destroy
Claim forms for payment (Form SA-7)	5	Destroy
Deposit records	5	Destroy
Ledgers	5	Destroy
Payment authorization vouchers	5	Destroy
Purchase orders, copies	5	Destroy
Receipts/receipt books	5	Destroy
Textbook rental and fees list	5	Destroy
Ticket sales (athletic, extra curricular)	5	Destroy

Record Title\Description	Retention Period	Disposition Instructions
7.31 Schools – Business Services, Building Services		
EPA Asbestos Management Plan	P	Retain permanently
Fire & tornado drill plan (safety plan)	Indefinite	Destroy when superseded
Use of Building Forms	3	Destroy

Record Title\Description	Retention Period	Disposition Instructions
7.32 Schools – Business Services, Food Services		
Cafeteria records must be retained 5 years per IC 20-5-6-4 to 13-5.		
Cafeteria inventories	Indefinite	Retain for 5 years and until superseded
Cafeteria receipts reports	5	Destroy
Cash register receipts	5	Destroy
Daily school lunch reports	5	Destroy
Government commodities used in Home Economics	5	Destroy
Health inspection report	Indefinite	Retain for 5 years and until superseded
Lunch ticket stubs	5	Destroy
Notification letters for school meals	5	Destroy
Record of advance payments and charges	5	Destroy
Record of charged lunches	5	Destroy
Small equipment inventory	Indefinite	Retain for 5 years and until superseded
Weekly school lunch report	5	Destroy

Record Title\Description	Retention Period	Disposition Instructions
7.4 Schools – Personnel		
Teacher personnel files Can include evaluations, letters, memos.	P	Retain permanently **Confidential** According to IC 5-14-3-4 (b)(8) personnel files of public employees are confidential except for the "(A) the name, compensation, job title, business address, business telephone number, job description, education and training background, previous work experience, or dates of first and last employment of present or former officers or employees of the agency; (B) information relating to the status of any formal charges against the employee; and (C) information concerning disciplinary actions in which final action has been taken and that resulted in the employee being disciplined or discharged."

Record Title\Description	Retention Period	Disposition Instructions
7.5 Schools – Students		
Enrollment cards	3	Destroy
Grade books	5	Destroy **Confidential**
Grade sheets, cumulative by semester	3	Destroy **Confidential**
Grade sheets, six week	3	Destroy **Confidential**
Insurance sign-off sheet	1	Destroy
Letter of absence record to parents	3	Destroy **Confidential**
Locker Assignments	1	Destroy
Notice of suspension	3	Destroy **Confidential**
Permanent record cards, graduates	P	Retain permanently M (15) Originals may be destroyed when filmed **Confidential**
Permanent record cards, withdrawal	P	Retain permanently M (15) Originals may be destroyed when filmed **Confidential**
Sick room sign-in/out sheet	1	Destroy
Sign in/out sheets (students leaving early or arriving late)	1	Destroy
Student Assignment book sign-off sheet	1	Destroy
Student Handbook sign-off sheet	1	Destroy
Student schedules	1	Destroy

Record Title\Description	Retention Period	Disposition Instructions
7.61 Schools – Instruction, Athletics		
Contract for athletic contests (Form A-85; A-5/82 – 75M; Form B-4/85-50M)	Indefinite	Destroy 10 years after expiration of contract
Contract for athletic officials	Indefinite	Destroy 10 years after expiration of contract
Contract for contest officials	Indefinite	Destroy 10 years after expiration of contract
Eligibility certificates	3	Destroy
Financial game records	5	Destroy
Insurance records	5	Destroy
Parent-Physician certification	5	Destroy
Record of awards	P	Retain permanently

Record Title\Description	Retention Period	Disposition Instructions
7.62 Schools -- Instruction, Guidance		
Cumulative record/Permanent record	P	Retain permanently M (15) Originals may be destroyed when filmed. **Confidential**
Health record	Indefinite	Retain for 5 years after student leaves the school system **Confidential**
Official class list	3	Destroy
Senior awards	P	Retain permanently
Student activity sheets	Indefinite	Retain for 5 years after student leaves the school system
Testing Results Records, classroom and building -- ISTEP, CAT, SAT, ACT, EPSF	5	Destroy
Testing Results Records, individual student -- ISTEP, CAT, SAT, ACT, EPSF	5	Destroy **Confidential**

Record Title\Description	Retention Period	Disposition Instructions
7.63 Schools – Instruction, Health & Psychological		
Parent request and Permission to administer medication	3	Destroy **Confidential**
Permission to medicate, parent notes	3	Destroy **Confidential**
Psychological reports	3	Destroy **Confidential**
Psychological reports – non-special education	3	Destroy **Confidential**
Psychologists follow up report	3	Destroy **Confidential**
Release letter - psychologist	Indefinite	Retain for length of student's enrollment **Confidential**
Release letter - Agencies	Indefinite	Retain for length of student's enrollment **Confidential**
Request for psychological services	Indefinite	Retain for length of student's enrollment **Confidential**
Statement of examining physician	Indefinite	Retain for length of student's enrollment **Confidential**
Student medical examination record	Indefinite	Retain for length of student's enrollment **Confidential**
Student Medical Records	Indefinite	Retain for length of student's enrollment **Confidential**
X-Ray Lab report	Indefinite	Retain for length of student's enrollment **Confidential**

Record Title\Description	Retention Period	Disposition Instructions

7.64 Schools – Instruction, Library

Annual school library report (no longer required to be filed with state)	P	Retain permanently
Bids, accepted	10	Destroy
Bids, not accepted	5	Destroy
Books and AV inventory	Indefinite	Destroy when superseded
Circulation records	Indefinite	Retain until returned
Fine slips	Indefinite	Retain until resolved
Materials inventory	5	Destroy
Monthly budget reports	3	Destroy
Patron files	Indefinite	Retain until replaced or inactive
Purchases orders, requisitions, duplicate copies	3	Destroy
Title II application	4	Destroy
Title II inventory & evaluation	4	Destroy

Appendix One: Forms

REQUEST FOR PERMISSION TO DESTROY OR TRANSFER CERTAIN PUBLIC RECORDS (PR-1)

State Form 30505 (R / 9-90)

INSTRUCTIONS:

1. *Prepare in quintuplicate (five copies).*
2. *The original and three copies shall be filed with the County Commission of Public Records and a copy retained by the originating agency.*
3. *Upon approval by the Commission, the Secretary shall forward one copy to the State Archivist, Indiana State Archives, one copy to the county historical society (if any), and retain the original and one copy for 60 days, during which time the records may be procured by an active historical society of the county or the Indiana State Archives.*
4. *Upon the expiration of 60 days the copy retained shall be forwarded to the agency, as authority to dispose of the records in accordance with the action thereon by the Commission.*
5. *The original shall be preserved as a part of the minutes of the Commission.*

TO BE FILLED OUT BY ORIGINATING AGENCY OR OFFICE

Government agency

Date *(month, day, year)*

Address of government agency

Check proper box below:

- ☐ Request to destroy
- ☐ Request to destroy previously microfilmed originals
- ☐ Request to microfilm and destroy
- ☐ Request to transfer to:

TO: Secretary, Commission of Public Records, of

_____ County, Indiana

RECORDS MEASUREMENT TABLE

1 Archives box (10" X 12" X 15" inside) = 1 cu. ft. of records
1 Letter size file drawer = 1 1/2 cu. ft. of records
1 Legal size file drawer = 2 cu. ft. of records
1 Number 11 record transfer box (12" X 24" X 10½") = 2 cu. ft. of records

NAME OR DESCRIPTION OF RECORD	VOLUME OF RECORDS *(see records measurement table)*	DATE OF RECORDS

All of the above records are more than three years old as of January 1, of the present year. All records requiring audit have been audited by the State Board of Accounts for the period indicated; the report of the audit is on file and does not show any exceptions taken or unsettled charges.

Approved by:

Requested by:

Title

Signature / title

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ACTION BY COMMISSION OF PUBLIC RECORDS

(To be filled out by the County Commission of Public Records)

TO *(name of government agency)*

You are hereby notified that your request to destroy or otherwise dispose of the public records listed thereon was approved by the Commission of Public Records at a meeting held this date, subject to the following limitations or exceptions.

In the event that neither an historical society in or of the county, nor the Indiana State Archives, procures all or part of these public records within the 60 day period required by IC 5-15-6-7, these public records may be destroyed or otherwise disposed of by authority of the County Commission of Public Records.

Signature of Chairman of County Commission of Public Records	Date signed *(month, day, year)*
ATTEST: Signature of Secretary	Date after which public records may be destroyed *(60 days after above date)*

NOTIFICATION BY HISTORICAL SOCIETY OR INDIANA STATE ARCHIVES TO PROCURE RECORDS

You are further notified that:

☐ 1. No written statement has been received from any historical society or the Indiana State Archives to procure any of such records.

☐ 2. A written statement has been received from _____

_____

of its intent to procure the following records.

Signature of Secretary	Date signed *(month, day, year)*

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Appendix Two: Year to Year Destruction Schedule

	# of Years to Retain Destroy in January				
Year Created	**3**	**4**	**5**	**6**	**10**
1985	1989	1990	1991	1992	1996
1986	1990	1991	1992	1993	1997
1987	1991	1992	1993	1994	1998
1988	1992	1993	1994	1995	1999
1989	1993	1994	1995	1996	2000
1990	1994	1995	1996	1997	2001
1991	1995	1996	1997	1998	2002
1992	1996	1997	1998	1999	2003
1993	1997	1998	1999	2000	2004
1994	1998	1999	2000	2001	2005
1995	1999	2000	2001	2002	2006
1996	2000	2001	2002	2003	2007
1997	2001	2002	2003	2004	2008
1998	2002	2003	2004	2005	2009
1999	2003	2004	2005	2006	2010
2000	2004	2005	2006	2007	2011

Appendix Three: **Sources of Information on Records Management and Archives**

Associations:

American Association for State and Local History (AASLH)
172 Second Avenue North
Nashville, TN 37201
(615) 255-2971

Association of Records Managers and Administrators (ARMA)
4200 Somerset Drive, Suite 213
Prairie Village, KS 66208

Indiana Association of School Business Officers (IASBO)
One North Capital
Indianapolis, Indiana 46202

National Association of Government Archives & Records Administrators (NAGARA)
Steve Grandin
Capital Hill Mgmt. Services Inc.
48 Howard Street
Albany, New York 12207

Society of American Archivists (SAA)
600 South Federal Suite 504
Chicago, IL 60605

Society of Indiana Archivists
Secretary/Treasurer
c/o ICPR, Archives Division
140 North Senate
Indianapolis, Indiana 46204

Publications

Diamond, Suzan Z. *Records Management: Policies, Practices, Technologies*, ANACOM: 1991.

National Association of Government Archives and Records Administration
Haller, Stephen E. *Managing Records on Limited Resources*
Johnson, A. K. *A Guide for the Selection and Development of Local Government Records Storage Facilities*
Stephens, David O. *The Daily Management of Records and Information*

O'Toole, James M. *Understanding Archives and Manuscripts*. Archival Fundamental Series. Chicago: Society of American Archivists, 1990.

Ritzenthaler, Mary Lynn. *Preserving Archives and Manuscripts*. Archival Fundamental Series. Chicago: Society of American Archivists, 1994.

Saffady, William. *Managing Electronic Records*. Prairie Grove, KS: ARMA International, 1992.

Skupsky, Donald S. *Records Retention Procedures*. Information Requirements Clearinghouse, 1990.

Skupsky, Donald S. *Legal Requirements for Microfilm, Computer and Optical Disk Records*. Information Requirements Clearinghouse, 1994.

Yakel, Elizabeth. *Starting an Archives*. Chicago: Society of American Archivists, 1994.

Appendix Four: Supplies

The following list is offered as a guide to sources of archival storage materials. Inclusion on this list does not represent a recommendation of the companies noted below.

Conservation Resources International, Inc.
8000-H Forbes Place
Springfield, VA 22151-2203
(703) 321-7730

Light Impressions
439 Monroe Avenue
Rochester, NY 14607-3717
(800) 828-6216

Paige Company, Inc.
275 Madison Avenue
New York, NY 10016
(212) 679-6626

University Products, Inc.
P.O. Box 101
517 Main Street
Holyoke, MA 01041
(800) 628-1912

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Annual Financial Report, 53
Annual Performance Report, 34
Annual project evaluation, 35
Annual report, 18
Annual school library report, 61
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Asbestos inspection report, 26
Asbestos Management Plan, 54
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